

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Norio KIMURA et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed June 24, 2003 : Attorney Docket No. 2003-0865

APPARATUS FOR POLISHING A  
SUBSTRATE  
(Rule 1.53(b) Divisional  
of Serial No. 09/897,918,  
Filed July 5, 2001)

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/897,918.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

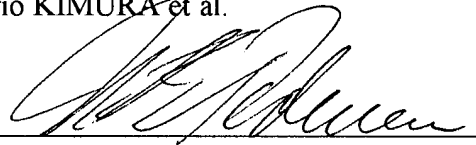
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Norio KIMURA et al.

By



Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/krl  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
June 24, 2003

THE COMMISSIONER IS AUTHORIZED  
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FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: June 24, 2003

ATTY DOCKET NO.  
2003-0865SERIAL NO.  
NEWAPPLICANT  
Norio KIMURA et al.FILING DATE  
June 24, 2003

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,081,796	1/1992	Schultz			
	AB	5,672,091	9/1997	Takahashi et al.			
	AC	6,045,439	4/2000	Birang et al.			
	AD	6,217,411	4/2001	Hiyama et al.			
	AE	6,354,907	3/2002	Satoh et al.			
	AF	5,609,511	3/1997	Moriyama et al.			
	AG	5,738,573	4/1998	Yueh			
	AH	5,868,609	2/1999	Aaron et al.			
	AI	5,951,368	9/1999	Watanabe et al.			
	AJ	6,213,844	4/2001	Lenkersdorfer			
	AK	6,436,832	8/2002	Ma et al.			
	AL	6,443,814	9/2002	Miller et al.			
	AM	Re. 34,425	11/1993	Schultz			
	AN	2002/0023715	2/2002	Kimura et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AO	08-139060	5/1996	JP			abstract only
	AP						
	AQ						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,421,768	6/1995	Fujiwara et al.			
	AB	5,514,245	5/1996	Doan et al.			
	AC	5,540,810	7/1996	Sandhu et al.			
	AD	5,716,264	2/1998	Kimura et al.			
	AE	5,855,804	1/1999	Walker			
	AF	5,945,347	8/1999	Wright			
	AG	6,113,465	9/2000	Kim et al.			
	AH	6,120,347	9/2000	Sandhu et al.			
	AI	6,120,354	9/2000	Koos et al.			
	AJ	6,162,368	12/2000	Li et al.			
	AK	6,217,410	4/2001	Holzapfel et al.			
	AL	6,220,941	4/2001	Fishkin et al.			
	AM	6,261,158	7/2001	Holland et al.			
	AN	6,283,840	9/2001	Huey			
	AO	6,319,098	11/2001	Osterheld et al.			
	AP	6,435,942	8/2002	Jin et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AQ						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.